



Department  
for Education

# University technical colleges

How to apply

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# 1. Things to know before you start

## Vision

1.1 We want to improve our education system so that all children thrive and prosper, regardless of their background. The University Technical Colleges programme, alongside free schools and studio schools, is helping us realise this vision. University Technical Colleges (UTCs) provide an opportunity for employers and universities to work together, sometimes with others, to open new institutions and deliver the high quality technical education that the country needs to support economic prosperity and growth.

1.2 To ensure that we establish high quality UTCs, we place a great emphasis on:

- the capacity and capability of the proposer group, including
- relevant education and financial expertise; and
- track record of those among the proposer group who run existing education provision.
- the quality of the provision when the UTC is open, including
- the academic rigour and aspiration of the education offer;
- strong governance structures and governing body; and
- the likelihood of being graded good or better by Ofsted in the first inspection.

1.3 We will fund UTCs that are proposed by the strongest groups in areas where new schools are needed most, by employers and by parents and students. UTCs must provide value for money, especially in periods when capital funding is limited.

1.4 This guidance is for groups wishing to establish a UTC, in line with the model established and promoted by the Baker Dearing Educational Trust (BDT). UTCs respond to employer demand for good technical education, are led by a variety of organisations and individuals and are governed by a majority of university and employer sponsors. BDT requires UTC academy trusts to sign a licence agreement prescribing the terms for use of the UTC brand and to pay an annual subscription providing access to BDT's services and support.

1.5 Applicant groups who wish to establish something different from the BDT model may be interested in applying to set up a mainstream free school, 16-19 free school, a studio school, special free school or an alternative provision free school. For more information, you should refer to the relevant guidance available on the Department for Education's [website](#). This guidance contains a number of technical terms and you may find it useful to refer to the glossary in [Annex B](#).

## What is a University Technical College?

1.6 UTCs are all-ability and mixed sex state funded schools, independent of local authorities. They are not extensions of or conversions from existing provision, but new 14-19 Academies, typically with 500-800 pupils. UTCs specialise in subjects that need modern, technical, industry-standard equipment, such as engineering and construction, and teach these disciplines alongside business skills and a broad, general education. Pupils integrate academic study with practical learning, studying core GCSEs alongside technical qualifications. The ethos and curriculum are designed with local and national employers who also provide support and work experience for pupils. UTCs are sponsored by a University and employers and in some cases also by other educational providers with strengths in the UTC's specialist subject areas. UTCs should provide progression routes into higher education or further learning in work, including apprenticeships.

1.7 Further information about the characteristics of a UTC can be obtained from BDT on their [website](#). UTCs are funded on a comparable basis to other state funded schools.

## UTCs: law and policy

1.8 Every UTC must comply with the legal and policy framework which governs the development of the UTC programme. There are three main sources of legal requirements for all UTCs:

- Independent School Standards legislation;
- the funding agreement; and
- relevant regulation and codes of practice specific to the type of school.

1.9 **Independent School Standards:** UTCs are academies, and as such, they are independent schools to which the relevant Independent School Standards apply. The Education (Independent School Standards) (England) Regulations 2012 are available [here](#).

1.10 **The funding agreement:** Each UTC will enter into a contract with the Secretary of State termed the 'funding agreement'<sup>1</sup>. In order to receive funding from the Secretary of State, UTCs must follow the arrangements and standards set out in the funding agreement. The model funding agreement can be found [here](#) and only in exceptional circumstances will the Secretary of State deviate from this model. A copy of the

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<sup>1</sup> For simplicity we use 'funding agreement' throughout the application documents to refer to the formal legal agreement between the academy trust and the Secretary of State. In addition to the funding agreement, the law allows the Secretary of State to fund academies (including UTCs) by payment of grant.

Academies Financial Handbook can be found [here](#). UTCs must abide by this document and it is important that you understand this information.

1.11 You should be aware of the following key requirements. UTCs must

- adopt fair practices and arrangements that are in accordance with the [School Admissions Code](#), the [School Admissions Appeals Code](#) and the admissions law as it applies to maintained schools;
- follow the statutory assessment (i.e. testing) arrangements as they apply to maintained schools;
- collect performance data, publish results and be subject to Ofsted section 5 inspection under the same framework that applies to all maintained schools;
- have regard to the [Special Educational Needs Code of Practice](#)<sup>2</sup> ; and
- provide a broad and balanced curriculum<sup>3</sup> including the core subjects of English, maths, and science and make provision for the teaching of religious education and a daily act of collective worship.

1.12 UTCs do not have to

- follow the national curriculum;
- employ teachers with qualified teacher status<sup>4</sup>;
- follow local authority term dates or standard school hours; or
- comply with the provisions in the School Teachers' Pay and Conditions Document.

1.13 UTCs are judged against the same accountability system as other schools. From 2016 Progress 8 will replace 5 A\*-C grades (including English and maths) as the headline accountability measure and the basis for the floor standard at key stage 4. The new measure will be based on students' progress measured across 8 subjects: English, maths, three other English Baccalaureate (EBacc) subjects (sciences, computer science, geography, history and languages); and three further subjects, which can be from the

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<sup>2</sup> Reforms to the SEN arrangements are due to come into force in September 2014, including a new SEN Code of Practice. Revised duties are set out in Part 3 of the Children and Families Act 2014 and associated regulations. UTCs have the same specific duties as other mainstream schools in relation to meeting the needs of pupils with SEN, including the requirement to have a SENCO who is a qualified teacher and holds appropriate specific qualifications, to publish a SEN Information Report and more generally to have regard to the SEN Code of Practice.

<sup>3</sup> The curriculum must (a) promote the spiritual, moral, cultural, mental and physical development of pupils at the school and of society, must (b) prepare pupils at the school for the opportunities, responsibilities and experiences of later life and must (c) include English, maths and science.

<sup>4</sup> With the exception of a Special Educational Needs Coordinator and the school's designated lead for looked after children, although please note that certain head teachers may hold these roles without having QTS.

range of EBacc subjects or can be any other approved, high-value arts, academic or vocational qualification. Further information can be found [here](#).

1.14 A new accountability system for 16-19 education will also come into effect from 2016 and will include a new set of rigorous minimum standards and headline measures (progress, attainment, retention, destination and progress in English and maths for students without a GCSE pass at A\*-C in these subjects) giving a clear overview of the performance of a school or college in academic and vocational programmes compared with other institutions nationally. A broader set of additional measures will provide other important information on performance including the number of students achieving the Technical Baccalaureate (TechBacc). More information can be found [here](#). A list of the approved high-value vocational qualifications that will count for key stage 4 and key stage 5 performance tables can be found [here](#). UTCs may also wish to offer other qualifications in addition, for example professional certificates valued by employers.

1.15 **Existing education providers among your UTC proposer group** – Applications are invited from groups that have identified evidence of employer, parent and student need. Applicant groups must include a university and employer working in partnership. Other existing educational providers – such as an academy trust, further education college or training provider – may choose to work with universities and employers as well. We expect the proposer group to have a sound understanding of the education context at key stage 4 and key stage 5 and be able to demonstrate how the UTC will establish and maintain high quality education provision. We welcome UTC applications from groups including existing providers with strong track records. We will look at the popularity and the quality of provision at the existing school(s)/college(s) and we expect the existing provision to have been judged at least good overall in its last Ofsted inspection, and to have above average results at key stage 2 (if applicable), at GCSE, including English and maths, and at key stage 5. We will also assess the existing school/college's financial record and capacity to set up a new school.

## 2. Getting started

2.1 Setting up and running a UTC is challenging and requires a lot of time, commitment and determination. Before you start your application, you should think about

- the law and policy as they apply to UTCs;
- the sub-regional need, from employers, parents, and students, for the particular UTC you want to set up;
- the level of involvement, at both the individual and organisational levels, which each party – including the employers and university – will have in setting up and running the UTC;
- the relevant skills and experience each party has to set up and run a UTC;
- whether you need to access any additional expertise and how you might secure this; and
- potential sites for your UTC.

2.2 The Baker Dearing Educational Trust (BDT) established the University Technical College model. Further information can be obtained on their [website](#). BDT are funded by the department to help applicant groups prepare. Applicants are strongly encouraged to discuss their application with BDT, who will be able to offer advice and support.

## Organising your group

2.3 Applicant groups will need to look at what needs to be done, both on a short term basis (submitting the full application and, if approved, preparing for the UTC to open) and long term basis (strategic running of the UTC as well as day-to-day management). Groups will need to organise themselves based on the skills, experience and time commitment of individual members, so that the group is deployed and governed in the most effective way. Groups may be able to identify external organisations or individuals who are willing to provide them with support free of charge.

2.4 You will need to demonstrate that your group has sufficient capacity and capability and a good track record to deliver your UTC through pre-opening. In particular, this means you must have the education expertise at both pre- and post-16 to build the UTC's education plan and measure its success; finance expertise to create the UTC's financial plan; project management expertise to ensure the project's successful progress; and communications and marketing expertise to build and maintain support among prospective students and their parents. Groups may also appoint a third party to provide support through an open and competitive tender process. However, you **must not** enter into any contracts in the expectation of public funds. If you have been assisted in writing your application by any individuals or organisations that are not part of your trust, you should explain how you will secure such support if you are approved.



2.5 Each UTC must be established on a solid legal footing and be underpinned by strong corporate governance arrangements, including for financial oversight. Each UTC is run by an academy trust, a charitable company limited by guarantee, formed specifically to establish and run a UTC<sup>5</sup>. 'Limited by guarantee' means that the personal liabilities of the members who establish it are restricted. The academy trust is the body that submits the application to open the UTC.

2.6 An academy trust is made up of members and trustees. The members are akin to the shareholders of a company. The members are the original subscribers to the trust's memorandum of association, and any other individuals permitted under its articles of association. Members have an overview of the governance arrangements of the trust and have the power to appoint and remove trustees. To set up your trust you will need three or more members<sup>6</sup>, referred to as the 'founding members'.

2.7 An employee of the UTC/trust may not be a member.

2.8 The members appoint the trustees of the trust, and you will need to name at least one trustee to set up your trust. The trustees are responsible for oversight of the day-to-day management of the trust and governance of the UTC.

2.9 A note on terminology the trustees of an academy trust are also the company directors<sup>7</sup>.

2.10 Individuals who are members can also be trustees. In academy trusts the most robust governance arrangements will retain at least some distinction between the members and the trustees. This promotes oversight and challenge.

## Establishing your academy trust

2.11 To establish your academy trust, your founding members will need to sign legal documents called a memorandum of association and articles of association. The articles set out the trust's constitution and provide a framework for its governance arrangements. The articles will be published as an annex to your trust's funding agreement, so it will be a public document once your UTC opens.

2.12 The department's model [articles](#) take into account best practice in corporate, charity and school governance. For this reason the department expects proposer groups to establish their academy trust using the model articles before they apply to open a UTC.

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<sup>5</sup> This is a requirement under the Academies Act 2010.

<sup>6</sup> Academy trusts should be established with three signatory members with the department encouraging trusts to have at least five members in total, as it ensures enough members can take decisions via special resolution (which requires 75% of members to agree) without requiring unanimity and facilitates majority decisions being taken by ordinary resolution (which requires a majority of members to agree).

<sup>7</sup> Charity Commission guidance on the role of trustees can be found [here](#)

2.13 You need to submit a completed model memorandum and articles of association to Companies House, along with an application to register a company and the relevant fee. [Information](#) on how to set up a company is available from Companies House.

2.14 The department's model articles include a 'charitable object'. This means that your trust will become a charity from the moment it is registered with Companies House (the date of incorporation). Once your UTC opens (on the first day of term) your company will become an 'exempt' charity. This means that the Principal Regulator will be the Secretary of State, as is the case for all academies. The [Academies Financial Handbook](#) provides more information on requirements on academy trusts resulting from this. You are not required to and should not register your company, its members or trustees (directors) with the Charity Commission.

## Financial accountability

2.15 Academy trusts are subject to public accountability requirements. They must ensure public money is used effectively and comply with a number of legal requirements and UK Government regulations.

2.16 All academy trusts must appoint an accounting officer, usually the principal, who is personally responsible to Parliament and to the accounting officer of the Education Funding Agency (EFA) for the resources under their control. They must establish appropriate financial management, governance and audit arrangements in accordance with the requirements of the Academies Financial Handbook. The EFA is responsible for providing assurance to Parliament that the funds it has provided to UTCs have been used for the purposes intended. Assurance is primarily sought and gained through the financial returns made by UTCs.

2.17 As companies limited by guarantee, academy trusts must prepare annual financial statements and submit them to Companies House within the required deadlines. The Academies Accounts Direction is published annually and sets out the form which academy financial statements must take, incorporating the requirements of company, charity and public sector financial reporting. The model UTC funding agreement requires academy trust financial statements to be audited by an external auditor and submitted to the Secretary of State via the EFA by 31 December each year.

2.18 Academy trusts must also submit an annual budget return to the EFA. As public sector bodies within the Department for Education accounting boundary, academy trust budget forecasts and financial results are consolidated into the EFA and the department's forecasts and results for the purpose of providing expenditure estimates to Parliament and for the Whole of Government Accounts, a legal obligation on the UK public sector. The National Audit Office is the group auditor for the Department for Education.

2.19 These regulations require that all potential suppliers are given a fair opportunity to seek business and make competitive offers. Therefore, there can be no guarantee that

organisations or individuals offering support in the preparation of applications will be offered contracts should the application be approved.

## Conflicts of interest

2.20 One of the most important tests of a trust's capability is how well it plans to and manages conflicts of interest. A conflict of interest can be defined as: 'Any situation in which a person's personal interests, or interests that they owe to another body, may (or may appear or be perceived to) influence or affect their decision making.'

2.21 Conflicts are most likely to arise when a trust is considering awarding a contract to an individual or organisation in which one of its members or trustees has an interest. By considering your plans for contracting work (pre-and post-opening) you will be able to act before forming your trust and recruiting your trustees to minimise the risks of a conflict. This will include ensuring that

- bodies that sponsor or promote schools do not derive a financial profit from doing so;
- any individual or organisation represented as a member of the trust, or with influence over the trust, understands that they will only be able to bid for contracts from the trust on an 'at cost' basis. This is in line with the approach taken by the department with approved academy sponsors;
- there is sufficient challenge within the trust, with independent members and trustees, capable of holding suppliers to account;
- trustees and members comply with the protocols set out at articles 6, 98 and 99 of the model articles. These protocols ensure that decisions are taken without bias and that individuals who are 'conflicted' take steps to avoid influencing a decision;
- the trustees establish and maintain a register of interests to identify and record potential areas of conflict; and
- trustees and members understand the need for all procurement to follow an open and fair competition. Our website provides guidance on procurement [here](#). The [Academies Financial Handbook](#) also includes guidance on conflicts of interest and appropriate procurement.

2.22 Conflicts of interest may also arise if family or other personal relationships between the individuals running an academy trust make it hard to hold an individual to account. For example, if a husband and wife were to take the roles of chair of the board of trustees and principal, it may be more likely that decisions will be influenced by shared interests or views, and not taken in the best interests of the trust.

2.23 It is important to note that even the **perception** of a conflict can create negative publicity and could affect your UTC's reputation and ability to recruit pupils.

## Recruiting trustees

2.24 The application process also asks you to confirm how many trustees you will appoint, and to provide information on any individuals you have already appointed as trustees. Our expectation is that the university and employers who will be crucial to the governance of your UTC once open will take an equally active, if not more active, part in the work of setting up the UTC before it opens, and share the burden of practical as well as strategic work. However the challenges of pre-opening are different from those faced by the trustees of an open UTC so you will need to consider carefully the specific skills and expertise you will need at each stage, and how to fill the gaps. No matter how vital a contribution you believe someone will make during pre-opening, you should not guarantee them a seat on your board of trustees. As a guide, a trustee, including all university and employer trustees, will be expected to do the following:

- have the relevant educational knowledge and confidence to challenge the senior leadership team of the school; acting as a critical friend to maintain focus on improvement; and holding them to account;
- use attainment and other data (in particular the Ofsted [dashboard](#) and [RAISE](#) online) to assess the school's progress, strengths and weaknesses;
- be independent of mind, with the confidence and experience to drive through change, for example in making the case for, and implementing the freedoms open to academy trusts around the curriculum and the school day;
- use financial and workforce data to inform decision making about the trust's spending commitments, to ensure the trust makes appropriate and effective use of public money; and
- maintain the highest professional standards as a trustee, exemplifying the [seven principles of public life](#) as set out by the Nolan Committee.

2.25 The number of trustees should be determined by the experience and skills needed to manage your academy trust and drive improvement in your UTC, and by BDT's requirement that the majority of trustees should be representatives of the employer and university sponsors. The larger the board of trustees the harder it may become to achieve focused discussion and clear decisions. As a general rule the department recommends no more than 12 trustees.

2.26 In your articles, you will need to specify how many trustees will be appointed by the members. You should also specify how many additional trustees the board of trustees will be able to appoint, using the co-option provisions in the Articles (noting that co-opted trustees cannot take part in decisions to co-opt other trustees).

2.27 You may find that accommodating every stakeholder and supporter on the board of trustees takes you above 12 trustees. However, **there are other ways to engage people with expertise**, or (for instance) to engage additional employers, by using committees and advisory bodies. For example, you might ask someone with HR

experience to join a finance and resources sub-committee, or you might create informal advisory bodies to give a voice to community groups, parents or pupils.

2.28 You will not be expected to have filled your entire board of trustees by the start of pre-opening. A trustee's term of office is four years, so it is better to take time in pre-opening to recruit high calibre trustees with the right skills for an open UTC. You can recruit your parent trustees during the first term after opening. You will be expected to have carried out a skills audit to assess what strengths and gaps exist across your project group and any trustees you have already appointed. Please note that all trustees, however they are appointed or elected, must be formally appointed as directors of the trust; and that a person who is not a director cannot act as a trustee.

## **Suitability of applicants and applications**

2.29 The Secretary of State will seek to ensure that only suitable persons are permitted to establish publicly funded UTCs and will seek confirmation that no member or director of the academy trust has been barred from Regulated Activity<sup>8</sup>. She will consider each application on its merits, and take into account all matters relevant to the application. She will reject any applications put forward by organisations which advocate violence or other illegal activities, or by individuals associated with such organisations. In order to be approved, applications will need to demonstrate that those individuals who will act as members and trustees, and the school itself, will ensure that principles are promoted which support fundamental British values, including: respect for the basis on which the law is made and applied in the United Kingdom; respect for democracy and support for participation in the democratic processes; support for equality of opportunity for all; support and respect for the liberties of all within the law; and respect for and tolerance of different faiths and religious and other beliefs.

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<sup>8</sup> Regulated Activity within the meaning given by the Safeguarding Vulnerable Groups Act 2006.

### 3. Preparing and submitting your application

#### What happens when

Application window	Likely interview period	Successful applicants announced
9am on 6 October – 12 noon on 10 October	24 November – 5 December	January 2015

3.1 Completed applications **must** be submitted to us within the application window in the table above.

#### Submitting your application

3.2 You must submit **Sections A-H**, (Word and Excel documents), within one of the application windows for them to be considered.

3.3 You need to submit a **copy by email** to the address [UTC.applications@education.gsi.gov.uk](mailto:UTC.applications@education.gsi.gov.uk) copying in the Baker Dearing Trust at [director@utcolleges.org](mailto:director@utcolleges.org). Please note that the size of your email should not exceed 9MB. Anything larger than this will not be delivered. If the application is larger than 9MB you should split the documents and send two emails, clearly flagging in the email subject line that you have done so.

3.4 You also need to submit **two hard copies** (Word and Excel documents) by **‘Recorded Signed For’** post to:

UTCs Applications Team, Department for Education, 3rd Floor, Sanctuary Buildings, Great Smith Street, London SW1P 3BT

And **one hard copy** by post to

The Baker Dearing Educational Trust, 4 Millbank, London, SW1P 3JA

3.5 It is essential that the hard copies you provide are identical to the electronic version you email.

3.6 The Word application form should be between 50 and 100 pages long, including annexes; formatted for printing on A4 paper; completed in Arial 12 point font; and include page numbers. Please do not include photographs, images and logos in your application (other than any demand map, if relevant).

3.7 The content of the Excel templates is excluded from the page limit.

## 4. Application assessment and interviews

### Assessment of your application

4.1 We will assess your application

- against the criteria set out below;
- against other UTC applications; and
- against a range of contextual factors including value for money and how your proposed UTC will make use of academy freedoms to improve standards in the local area.

4.2 It is essential that you read the assessment criteria before starting your application. Under each criterion we have included a description of what you should include in your application.

4.3 All criteria are important and groups should complete their entire application with care and consideration. The capacity and capability of your group and the need for your school will both be critical to your UTC's success. Therefore, we will look at these two elements of your application first. **If your group's capacity or capability is not strong – including if established education providers within your group do not have a good track record – or if you are unable to demonstrate a clear need for the UTC, it is likely that your application will not be considered further and you may not get feedback on the other sections. We expect applicants to set out clearly how each partner or sponsor organisation, including employers and the university, and their named representatives will engage with the UTC both in pre-opening and once open.**

4.4 If you plan to use policies from another school or education provider you must be transparent about that (cite your sources), and explain your rationale for doing so. If you do not and we subsequently discover you have sourced material from elsewhere, you may not receive any scores for that section of your application.

### Interviews

4.5 If your application is assessed as one of the strongest, we will invite your group to interview. Please see page 14 for the period in which we expect to hold interviews.

4.6 Interviews will be tailored based on the quality of the application, and the strength and track record of the proposer group.

### Decisions and pre-opening

4.7 On page 14 we set out when we expect to announce decisions.



4.8 If the Secretary of State decides your application should progress to the pre-opening stage, we will provide you with a dedicated point of contact from the Department for Education, along with support from the EFA to help secure a site and open your school.

4.9 **Please note that approval of your application does not mean approval of every detail, including your financial plans, preferred principal designate proposed site or budget.** Approval may be conditional on amending certain aspects of your application

4.10 There will be a **significant** amount of work to complete between the approval of your UTC application and your UTC opening. Therefore, you should be clear that every member of your group, including the representatives fielded by employer and university partners, is able to commit the time necessary to do this throughout the time period the project will spend in pre-opening. If you employ a principal designate, senior staff, or procure project management support, you will need to oversee their work.

4.11 We will provide a project development grant of £300,000 to groups whose applications are approved to the next stage. This grant is to help cover everything that groups will need to buy up to the point that the UTC opens. This will include the cost of any project management and education support required and other costs such as recruiting and paying a principal designate. This grant will supplement the pro-bono contributions and resources of the UTC sponsors. The project development grant does not cover capital costs and this is funded separately. We will ask you to submit a budget plan to show how you will spend this money in pre-opening and we will ask you to submit regular statements of expenditure

4.12 During the pre-opening phase the department will seek to deliver your school with the lowest possible capital cost (acquisition and property costs, plus the costs of necessary works and fit out). Your EFA project director will discuss this with you in due course.

4.13 Assuming you make good progress after your application is approved, the Secretary of State will then decide whether to enter into a funding agreement with you. In previous rounds some applications have been approved after interview but then failed to progress sufficiently. In some cases a funding agreement could not be signed, the project did not go ahead and the UTC did not open. In other cases, the opening of the UTC had to be delayed by a year. This demonstrates the immense importance and challenge of the pre-opening phase.

## Appeals and reapplying

4.14 Decisions by the Secretary of State are final and there is no formal appeals process.

4.15 If your application is not successful, you will receive a feedback letter giving more information about the judgement.



4.16 If you are reapplying after being unsuccessful in a previous round, we expect you to demonstrate under the relevant section of your new application how you have changed your application in response to the feedback you received. If this feedback is not addressed to our satisfaction, it is likely that your application will not be considered further, and you may not get full feedback on the new application.

## 5. Application form sections and criteria

5.1 Personal data is collected on the Word and Excel application forms in order to consider an application to set up a UTC and will not be used for other purposes. For the purposes of the Data Protection Act, the Department for Education is the data controller for this personal information and for ensuring that it is processed in accordance with the terms of the Act. The department will hold all personal information you supply securely and will only make it available to those who need to see it as part of the UTC application process. All personal information supplied in these forms will only be retained for as long as it is needed for this process.

5.2 Your Word application should be between 50 and 100 pages long, including annexes. The contents of the Excel templates are excluded from the page limit.

### Section A: Applicant details

5.3 In this section (in Excel) we ask you for basic information about your group and your company limited by guarantee. There are no assessment criteria for this section.

5.4 As companies limited by guarantee, certain details will be publicly available on the Companies House website. However, the personal information you provide in **Section A** will be treated in accordance with the Data Protection Act 1998.

### Section B: Outline of the school

5.5 In this section (in Excel) we ask you for key details on the UTC you are proposing. There are no assessment criteria for this section.

### Section C: Education vision

5.6 Your education vision should describe why you want to set up your particular UTC in the particular area you have identified, its core features and the pupils you intend to cater for. You should tell us in your own words about the overarching vision for your UTC and how it informs your education plan. Your application should be coherent and consistent throughout and work together as a cohesive whole. You will need to demonstrate in later sections that the vision is both deliverable and affordable within the funding allocated to UTCs.

**C1: A credible proposal to deliver a high quality UTC and a clear rationale for establishing it in this sub-regional area, including showing how the UTC will be separate and distinctive from any of the sponsors**

Free text in the Word template. You must

- include a brief explanation of why you are seeking to establish your UTC in this particular area. Please explain why you have selected the key features of your UTC, the location and approach to teaching and learning;
- provide a detailed explanation of the rationale for the proposed specialism(s), including how they are based on national and local demand from employers and specifically how they will lead to employment opportunities which require the technical knowledge and skills the UTC will teach;
- demonstrate that your vision is deliverable (this will be assessed across your whole application but needs to be clearly set out in this section), and consistent with the rest of your application;
- show how your UTC will offer a high quality education (e.g. that you have set high ambitions for standards of teaching and pupil outcomes) and a strong technical focus; and
- explain how your UTC will be a clearly separate institution in governance terms, and offer a distinctive curriculum, from any existing provision run by members of your group.

We will assess the quality of the case you make in demonstrating how your UTC will

- add to the choice/diversity of provision by offering specialisms unavailable elsewhere in the area;
- offer higher standards than local schools and colleges;
- respond to parental and student need , and employers' needs; and
- make use of academy freedoms to improve standards in the local area.

You will be rated more highly if you can make a compelling case that your UTC will address most of these factors.

## **C2: Set out a clear identity for the UTC, which utilises the expertise of the employer sponsor(s)**

Free text in the Word template. You must

- include letters from the employer sponsor(s) named in the Excel form, and any other employers you are working with, confirming what support they will offer the UTC, at both the individual and organisational level, before and after it opens (these letters should go in an annex).

We will assess the quality of the case your letters and application make in

- showing how the identity and operation of the UTC will be driven by the employer

sponsor(s), and what those employers will do, including staff and resource inputs, work placements, apprenticeships and financial and other contributions; and

- explaining what impact this will have on students, and what impact it will have on the employers' own priorities.

### **C3: Set out a clear identity for the UTC, which utilises the expertise of the university sponsor(s)**

Free text in the Word template. You must

- include letters from the university sponsor(s) named in the Excel form, and any other universities you are working with, confirming what support the university and its staff will offer to the UTC before and after it opens (these letters should go in an annex).

We will assess the quality of the case your letters and application make in

- showing how the identity and operation of the UTC will be driven by the university sponsor(s), and what the university will do;
- explaining what impact this will have on students; and
- showing how named staff and the different parts of the university will support the different elements of the UTC's work

## **Section D: Education plan**

5.7 This is the heart of your application. Your education plan must explain how your UTC will achieve its education vision and set out your high level strategies. In order to describe how you will achieve your vision, you will need to describe your expected student intake; their prior attainment and circumstances; and your expectations of their achievement against the new accountability measures referred to on page 7, and against any other measures of success that are important to your group.

5.8 As well as being achievable, your education plan must be affordable within the funding allocated to UTCs, and consistent with your financial plans.

5.9 In previous application rounds proposer groups have fallen short in adequately describing their education plans, for example not describing clearly or in sufficient detail how the curriculum will integrate core academic subjects with technical learning; how it will map onto appropriate and relevant qualifications and how performance will be measured, both in terms of the department's new accountability framework, including pupils progress across 8 subjects, and the UTC's own specific measures. If you are

invited to interview, all prospective governors should aim to have this understanding as it will be needed in pre-opening.

5.10 Please describe your curriculum plan for pre-16 students (**D1a**) and your curriculum plan for post-16 students (**D1b**) separately. They will be assessed separately and carry equal weight.

## **D1 An ambitious and deliverable curriculum plan for**

**(a) pre-16 students, and**

**(b) post-16 students,**

**that is consistent with the vision and pupil intake and has an appropriate focus on the technical specialisms**

Free text and Word table. For both **D1a** and **D1b**, you must

- demonstrate that your proposed curriculum will be deliverable;
- have a suitable emphasis on the technical specialisms ;
- complete the table in the Word form, showing for pre-16 and for post-16
- a list of subjects to be offered with the associated qualifications and the number of hours spent per week on each, and
- the length of the school day, including any enrichment time, making a distinction between compulsory and voluntary activities.

For both **D1a** and **D1b**, we will also assess the quality of the curriculum plan by how far it demonstrates

- an understanding of the expected pupil intake and their needs;
- your rationale for the type of curriculum proposed. Please explain how it meets the needs of the expected intake, whilst having an ambitious approach to meeting those needs;
- strategies to assess and meet the needs of all pupils including looked after children, those requiring literacy recovery/intervention (including English as an additional language), the most able (gifted and talented) and those with differing degrees of special educational needs;
- strategies to ensure pupils make a successful transition into the UTC, and progress successfully onwards. If your curriculum plans map to entry requirements for specialist education, employment and training opportunities you have identified as progression routes, you should explain how this works;

- employer and university involvement in both the design and the delivery of the curriculum;
- a clear strategy to integrate core academic subjects and technical learning, with examples that illustrate the nature of the technical specialism(s) and specifically what you are going to teach; and
- an appropriate enrichment programme.

For pre-16 (**D1a**) your curriculum must be broad and balanced, including English, maths, and science, and you must offer appropriate qualifications.

For post-16 (**D1b**) this should show what subjects will be covered, the range of appropriate qualifications offered and how these will meet the needs and interests of all students.

## **D2: Measuring pupil performance effectively and setting challenging targets**

Free text in the Word template. You must

- describe how you will establish a baseline of students' current level of attainment, and of their previous levels of attainment, in order to put in place an assessment and data tracking system that will allow pupil performance to be monitored;
- have a headline set of clear, ambitious and realistic targets for pupil performance, behaviour and attendance, explaining why they are suitable to measure the delivery of your education vision, and what your strategy will be to achieve them; and
- demonstrate how you will review the success measures and targets to improve the UTC's performance.

We will also assess the quality of the case you make in demonstrating that your UTC will

- differentiate its targets for achievement and for progression according to students' current and previous levels of attainment, and use this data to inform teaching and drive achievement;
- have a clear focus on measuring and improving quality of teaching in the classroom;
- have a clear strategy to liaise with and report progress to parents; and
- have a clear focus on success in terms of progression to education, employment, and training related to the specialisms

### **D3: A staffing structure that will deliver the planned curriculum within the expected income levels**

Free text in the Word template. You must

- explain how you will phase your staffing structure to deliver a curriculum which is suitable to your early years of operation, while the UTC is growing towards full capacity. Provide diagrams showing the proposed staffing structure each year until full capacity (the diagrams can go in an annex);
- provide an affordable, consistent staffing structure for when the UTC is at full capacity, which is sufficient to deliver the curriculum plan

We will also assess the quality of the case you make in demonstrating that

- the staffing structure includes an appropriate balance of roles, experience and expertise eg senior leadership team, teachers, non-teachers etc; and
- you have credible contingency plans to adapt your staffing structure if income were to be less than expected (consistent with your contingency plans in G3).

We will use your financial plans to assess whether the staffing structures you propose are affordable. You do not need to provide a commentary on affordability in this section.

## **Section E: Evidence of need and marketing plans**

5.11 We will assess whether there is need for your UTC by considering the demand from employers for school leavers with the particular knowledge and skills your UTC will provide. We will also consider the demand from parents and students, including considering what other provision, in the broad specialist sectors you offer, is available in your area. We will assess your plans to market the UTC so that it is highly popular from the start and attracts a cross-section of the population. Your local authority should provide you with detailed demographic data.

5.12 We will look at the data you have provided to judge the level of need and the extent to which you have engaged with a cross section of the local community.

### **E1: Provide evidence that specialist employers need the workforce produced by the UTC**

Free text in the Word template. You must

- describe and quantify the national skills gap in your specialisms; and
- describe and quantify the local skills gap experienced in your catchment area by
  - the employer(s) named in the Excel application form, and

- any other employers you are working with.

You should present evidence on this local skills gap in terms of

- the employers' failures to recruit due to a lack of people with the specialist knowledge and skills your UTC will provide, using quantitative evidence, and
- any other impacts the employers experience due to this skills gap, using quantitative evidence if possible.

We will assess the quality of the case you make that employers need the workforce produced by this UTC. You will be rated more highly if

- you can present evidence that these gaps are large; and
- you can describe how they are having a significant effect on the employer sponsor(s) and any other employers you are working with.

## **E2: Provide evidence that students and parents need this UTC in this area**

Free text and Word table. You must

- demonstrate how many parents and students, who are of the right age to be in year 10 and year 12 in the UTC's first year of operation, **have said that they will leave their current school and move to your UTC**. For example, if in your first year you are intending to recruit 150 students, made up of 50 year 10s and 100 year 12s, the closer you can get to meeting (or exceeding) these numbers the higher you will be rated. You need to show that these potential students live within travelling distance of the proposed UTC, and demonstrate that they – and for pre-16 their parents – have made an informed decision to move to your UTC. We will not consider generic expressions of interest in a new school to be sufficient evidence that there is demand for the UTC that you are proposing. Please give a clear account of how you have gathered the data (and any shortcomings in the data collection methods, for example if you have extrapolated the findings from a small survey to a larger catchment area) such that we can verify it at interview stage if appropriate. (Please include in an annex any leaflets or material you have used with parents and students, a map showing that the students are within travelling distance and any information on local travel to learn patterns if relevant);
- describe what other provision is available at key stage 4 and key stage 5 within your catchment area, in the broad sectors of your specialisms. Provide a brief summary of the standards of that provision using Ofsted judgements and pupil achievement data; and
- tell us the proportion of NEETs in your catchment area (use LA level data if data is



not available for your catchment area).

You will be rated more highly if

- you can provide evidence that a high number of parents and students of the right age have said **they will leave their current school and move to your UTC**; and
- ☐ the other schools and colleges offering similar specialisms are underperforming (underperforming schools will usually be classed as schools rated as 'requires improvement' or 'inadequate' by Ofsted. However we will also take into account pupil attainment and progression data) or there is no similar provision, or if your area has high levels of NEETs.

### E3: Marketing plan and engagement with the local community

Free text in the Word template. You must

- describe the demographics of the catchment area, and the characteristics of your likely intake;
- describe the educational context of the catchment area, including any challenging or favourable aspects which will influence the ways in which you need to market the UTC to students and parents (eg the extent of any current or forecast shortage (basic need) or surplus of places within the area; a three-tier system; a selective system; any reputational challenges faced by any sponsors; or whether the local authority has committed to promoting the UTC).

We will also assess the quality of the case you make in demonstrating

- how you will address each of the challenges in your educational context, including the activities and resources planned;
- how the marketing plan will ensure that the UTC has a good gender balance, will recruit students not traditionally attracted to your chosen specialism(s); and
- how the marketing plan will ensure that the UTC is as diverse as its catchment, by addressing the needs of the specific groups you have described.

## Section F: Capacity and capability

5.13 You must demonstrate that your group has the capacity and capability to set up and run a UTC. You must have access to appropriate educational, financial and other expertise either within your group or externally. You must also demonstrate how sponsor or partner organisations, including the university and employers, will contribute to the UTC both in pre-opening and once open. For each organisation you should include information on how they will support the UTC in terms of staff and resource inputs, work

placements, apprenticeships and financial or other contributions. This information should be quantifiable.

5.14 All existing mainstream schools and academies that have not been approved to be an academy sponsor should complete sections F1-F5.

5.15 If you are an approved academy sponsor the department will already hold material that would be relevant to your UTC application and will therefore not expect you to provide this information for a second time. **You do not need to complete section F5 of the application form relating to your educational track record until we have assessed whether we have enough information on these aspects of your performance.** If required, we will make sure that we give you sufficient time to provide any clarification or additional material to help us take a view in regard to these factors.

5.16 Throughout section F, we will ask you to provide details of educational, financial, and other expertise. When we ask this, please include the following information for **each individual** who is part of your applicant group (including all members of your academy trust) or whose expertise you intend to access. Please use the template CV provided in the Word application form.

- All individuals. Please provide
  - brief details of last three roles (organisation, position, dates); This should cover the last four years. If not, please include additional roles; and
  - a brief commentary on why their previous experience is relevant for this proposed UTC, and optionally any other brief comments they wish to make on how their role(s) had an impact on raising standards.
- **Individuals with educational expertise and experience.** Please also provide
  - **track record** across those last three roles in terms of Best 8 value-added scores if available, 5A\*-C GCSE including English and maths results (for key stage 4) , and average point score per entry and per student for level 3 qualifications (for key stage 5).
  - If they are/were a member of a school or college leadership team, please provide the results for their **school/college** compared to **local and national** averages for the years they were in post.
  - If they are/were a teacher or head of department but not a member of the leadership team, the results for their **department** compared to the averages for their **school/college**.
- **Individuals with financial expertise and experience.** For the group's nominated finance lead, please also provide
  - details of their professional financial qualifications

- **Individuals with expertise in analysing and challenging performance data to drive improvement.** This could be from any governance and leadership background (business, university, school, or other). Please also provide
  - *if possible*: quantified **track record** (using whatever metrics are appropriate) across last three roles.
- **Individuals with other expertise.** Section F also asks you to provide information on individuals in your group who have other relevant skills and expertise that will ensure the success of your proposed UTC. This may include communications, marketing, human resources and project management expertise. There are no specific requirements for these areas but please provide CVs on the template provided for these individuals including:
  - a brief commentary outlining their previous experience and why this is relevant for the proposed UTC;
  - *if possible*: quantified **track record** data (using whatever metrics are appropriate) across the last three roles;
  - details of any relevant qualifications.

5.17 F1 and F2 are composed of three tables:

- Pre-and post-opening time and expertise (F1 and F2a);
- Organisational contributions in pre-and post-opening (F1 and F2b);
- Skills gap analysis for pre- and post-opening (F1 and F2c).

A CV template is also provided for you to provide information on the track record of the individuals listed in the tables.

## **F1: The necessary experience and credentials to deliver the UTC to opening**

Word tables only. For F1 we will only assess these tables, including the **CV template(s)** you will include in an annex.

Using the **time and expertise** table, you must

- demonstrate that you have access to adequate relevant education and finance expertise with specific and sufficient time commitments;
- demonstrate that the large amount of time and expertise needed to set up your UTC is sourced from across the whole spectrum of organisations that are involved as trustees/directors/governors; and
- demonstrate that you have access to individuals with sufficient time and relevant experience in some of the following:

- Managing school finances,
- Leadership,
- Project management,
- Marketing,
- Human resources, and
- Engaging employers and universities in school-age education.

You will be rated more highly if the individuals listed have a strong track record (shown in CV template) in their areas of expertise, and if you have individuals with expertise in most of the six additional areas listed above.

Using the **organisational contributions table**, you must

- demonstrate how your partner or sponsor organisations including the university and employers, will contribute to the establishment of the UTC, including the input from any additional staff not included in the time and expertise table and the support that will be provided, for example in the areas of curriculum planning, delivering employer projects and providing opportunities for young people.

Using the **skills gaps** table, you must

- describe any skills you think you will need that your group does not yet have, and describe any areas where you think your group does not yet have enough time committed; and
- explain your plans to fill these gaps.

You will be rated more highly if you have a compelling strategy to fill the skills gaps you have identified.

## **F2: The trustees, in collaboration with partner and sponsor organisations, have the experience, track record, and commitment to drive improvement in a UTC and manage the trust effectively.**

Word tables only. For F2 we will only assess these tables, including the **CV template(s)** you will include in an annex.

Using the **time and expertise table**, you must

- demonstrate that you have trustees with relevant expertise, with specific and sufficient time commitments, in **at least two of the following three skill sets**:
  - educational expertise,

- financial expertise, and
- expertise in analysing and challenging performance data to drive improvement. This could be from any governance and leadership background (business, university, school, or other).

You will be rated more highly if the individuals listed have a strong track record in their areas of expertise.

Using the **organisational contributions table**, you must

- demonstrate how your partner or sponsor organisations, including the university and employers, will contribute to the running of the UTC once open including the input from any additional staff not included in the time and expertise table and the support that will be provided, for example in the areas of curriculum planning, delivering employer projects and providing opportunities for young people.

Using the **skills gaps table**, you must

- describe any skills you think you will need that your group does not yet have, and describe any areas where you think your group does not yet have enough time committed; and
- explain your plans to fill these gaps.

You will be rated more highly if you have a compelling strategy to fill the skills gaps you have identified.

### **F3: A governance structure, roles and responsibilities that will ensure accountability and effective decision making in this academy trust and drive improvement in the UTC**

Free text in the Word template. You must

- provide a diagram showing your proposed governance structure, including lines of accountability between the company members, the UTC's trustees, and the principal (the diagram can go in an annex). The governance structure must be in line with the model UTC Articles of Association and the Academies Financial Handbook, with a clear and appropriate division of roles and responsibilities between members, governors and the UTC's senior leadership team;
- give a brief explanation of the roles and responsibilities of the company members, the trustees, any proposed committees, and the principal;
- explain your strategy for avoiding and minimising conflicts of interest and for securing independent challenge to members and to trustees; and
- give a brief description of any conflicts of interest and an explanation of how you

intend to manage them.

We will also assess the quality of the case you make in demonstrating that the proposed governance structure, and the board of trustees' proposed size, will enable effective decision making.

#### **F4: A credible plan for recruiting a high quality principal during pre-opening.**

Free text in the Word template. You must

- **either** have suggested a timeline for appointing a principal, a role description, and recruitment strategy that will attract to the UTC a principal with relevant experience and a credible track record of relevant leadership (any documents you include can go in annexes). Please provide a brief explanation of why you think you can attract a high calibre candidate to the role;
- **or** have identified a principal with a credible educational track record as a senior leader and who shows clear potential to be a competent principal of this UTC. Please provide a CV for your proposed principal in the annex. See the bullets in the introduction to section F for what to include.

The principal's salary must be affordable within the financial plan.

You will be rated more highly if you have either described an excellent recruitment strategy, with a good timeline and a compelling role description and marketing proposals, or identified a principal with an exemplary educational track record as a senior leader and who shows clear potential to be an excellent principal of this UTC.

We will use the information you provide in section G to determine whether the principal's salary will be affordable. You do not need to provide a commentary on affordability in this section.

#### **F5: Educational track record of existing providers**

Free text in the Word template. If the proposer group outlined in section A includes existing educational providers of pre-19 education, for instance a school or college, we will assess their educational track record. If no such providers are involved, leave this section blank.

If the provider(s) in question is/are an **approved academy sponsor**, you do not need to provide anything except the name of the name of the sponsor, as we already hold the information described below.

If the provider(s) in question is/are **not an approved academy sponsor** (even if they have an open academy, UTC or free school or a project in pre-opening), you must give the following information for **each provider**:

- the date and overall judgement of their latest Ofsted inspection with the link to the full report (in the Excel application form);
- links (in the Excel application form) to the most recent published performance data for each of the provider's schools or colleges. Please use the Word form to provide a brief explanation of any anomalies you think we should be aware of;
- an indication of how the school or college will provide on-going challenge and support to the proposed UTC. Where relevant, please state how the provider would source additional capacity if required; and
- **if the provider is involved with supporting other schools or colleges to improve**, please also provide a list of the key people the provider uses to furnish that support, giving brief details in line with the bullets introducing section F; details of when they have supported other schools or colleges; and references to Ofsted judgements where they have been directly responsible for a positive transformation

We base our assessment of the capacity, capability, and quality of provision of the provider(s) on the following criteria:

- **strategic direction** - a clear understanding of what it means to be an effective school sponsor, school, or college, and clear aspirations underpinned by a sustainable business model;
- **educational capacity and performance** - evidence of sustainable educational impact and school/college improvement capacity;
- **financial planning and operational capacity** - evidence of robust financial planning and expertise, value for money and risk management; and
- **governance and transparency** - appropriate, tight governance structures and clear lines of accountability.

In order to be rated highly, the provider(s) must have

- a **high calibre** of educational leadership; and
- **compelling evidence** of high, sustained educational impact, measured by
  - key stage 4 results data, including absolute results, trajectories above national averages (and key stage 2 results if the provider runs primary provision),
  - Best 8 value added scores, compared with LA and national averages,
  - Ofsted S5 judgements of quality of teaching, leadership and management are

on average, 'outstanding', and

- individuals' track record, including results in previous schools/colleges, value added (as above) and Ofsted track record.

## Section G: Budget planning and affordability

5.18 We want to ensure that your UTC is financially viable within the funding available. Detailed guidance on completing the financial template can be found in Annex A.

5.19 We first ask you to provide a budget plan showing your income and expenditure as your UTC grows to full capacity. We want to check that your financial plans will support delivery of your education vision and plan and that your UTC is viable with the funding provided. We then ask you to explain what changes you would make if you had to operate with only 70% of your expected income each year until your UTC reaches a steady state, due to lower than expected student numbers. We want to make sure your UTC is resilient to changes in income as a result of having fewer pupils than expected. You must show how you made 30% savings for each year up to and including the year your UTC reaches steady state. You do not need to submit a 70% budget plan in the Excel financial template but you will need to think about areas where you can make savings and explain these in the Word application form. It is critical that you include the savings that each change will generate, the rationale for each change that you propose and the reason why you have prioritised the changes as you have.

### **G1: Accurate financial plans that are consistent with the rest of the application and based on realistic assumptions about income and expenditure**

Excel financial template plus free text in Word. You must

- include an overview explanation in section G of the Word application form of how you developed your plans and the strategic decisions underpinning them. As part of this, you should briefly explain how you would deliver value for money, and describe how your budget plan would support delivery of your education vision and plan;
- complete a budget plan showing income and planned expenditure in the Excel template and include the assumptions made about income and expenditure in the space provided. You should explain clearly what you have based your assumptions on and the evidence you have to show these are realistic and appropriate;
- make sure that the information in your plan is consistent with the other parts of your application e.g. the staffing structure and pupil numbers in the education plan should agree with the budget plan;



- demonstrate that no material errors have been made in completing the financial plan; and
- show that you have allowed for unexpected costs and have contingencies.

We will also assess the quality of the case you make in demonstrating that the strategic financial decisions you have taken in preparing your plan are reasonable, represent good value for money and are prudent. We will look at

- core operating income / expenditure assumptions;
- benchmarking information for income and expenditure;
- contingencies;
- any centrally provided services and their costs;
- proportion of spend allocated to each budget area – and particularly to staffing;
- staff to pupil ratios;
- the context of the area (e.g. the percentage of FSM and SEN pupils); and
- the UTC's particular education offer (e.g. specialist teaching).

If you are invited to interview, we will assess how well you answer financial scrutiny questions.

## **G2: The UTC will be viable within the expected levels of funding available both during the post opening period and once at full capacity**

Excel financial template plus free text in Word. You must

- demonstrate that the UTC is projected to at least break even once at full capacity;
- not show a cumulative deficit in any year. Any in-year deficits during the period when student numbers are ramping up must be planned for by accumulating a surplus in (a) previous year(s); and
- not be dependent on borrowing or third party income to break even in any year: your eventual UTC could depend on some third-party income, (for instance from Apprenticeships) but this would need to be thoroughly documented during pre-opening, and at the application stage, you should not count on having this income).

We will also assess the quality of the case you make in demonstrating how you have made the decisions you have regarding the levels of in year deficit and overall surplus, looking at the factors set out under G1.

### **G3: The UTC will be financially resilient to reductions in income**

Free text and Word table. You must

- include an overview explanation in Section G of the Word application form of how you approached making 30% savings and your rationale for suggesting the changes that you have. You must show how you made 30% savings for each year up to and including the year your UTC reaches steady state. As part of this, you should explain how your amended plans would continue to support delivery of your education vision and plan; and
- complete the table to explain how you would deliver your vision and plan if your income was 70% of what you had expected. To do this, you should explain the actions you would take to reduce costs, the reasons for these actions and the approximate savings that would result. These savings should total the 30%.

We will also assess the quality of the case you make in demonstrating

- that the changes proposed will result in an education plan which is affordable, will minimise compromises to quality and will meet the vision for the UTC; and
- that the changes outlined in the 70% table have taken into account the particular characteristics of your UTC.

NB: The Excel financial template will provide you with a figure for the required saving.

For the purpose of this exercise we assume your entire income – including any lump sum which may be payable in your area – is reduced by 30%.

## **Section H: Premises and Equipment**

5.20 Finding a suitable site is an essential part of opening a UTC. As part of preparing your application you should investigate potential sites for your UTC and tell us about them in your application.

5.21 There are no assessment criteria for this section, although we make a value for money judgement on each application that includes likely site costs.

5.22 You must

- complete the Excel application form with details of your preferred sites. For each site, this asks you for
  - the details of your preferred location,
  - the full address and postcode,
  - details of how you found the site,
  - the tenure and ownership plus purchase/lease cost if known,

- confirmation of LA support for use of a site, if applicable,
- confirmation of availability,
- an outline of its current use,
- your reasons for choosing it and its suitability,
- size of site and building, if known,
- comments on the condition of the building.

5.23 Additionally, please provide any site plans, agent's particulars, photos, catchment/location maps or other associated technical information. All supporting text information on sites must be included in the Excel application form.

5.24 You should make enquiries as to whether your preferred sites are available for acquisition or leasehold but you must not enter into any negotiations at this or any other stage. If your application is approved, the EFA will undertake negotiations to lease or acquire a site for your UTC and will provide the necessary capital funding for the refurbishment and building works. A 125-year peppercorn lease is the department's preferred type of tenure, as it ensures long-term security for the UTC as well as value for money. UTCs will not always require the construction of a completely new building, existing premises can be refurbished or remodelled so that they are functional and comply with all relevant legislation

5.25 Whilst it will be important to secure a site that is appropriate for your UTC, it must also offer value for money and if approved the department will seek to deliver your UTC with the lowest possible capital cost. If, after approval of your application it proves impossible to identify a feasible site, we may have to delay the opening of your UTC or, in some cases, we may not be able to open your UTC at all. The overall capital budget for your UTC will cover site acquisition, building or refurbishment costs, including fees, surveys and legal advice, and the costs of ICT provision, standard fittings, furniture and equipment.

5.26 Some funding may also be available for the specialist equipment needed to deliver your technical specialism(s), with the expectation that any contribution from the department will be capped at £600,000.

## 6. Support for applicants

### Useful contacts

6.1 Please find below contact details of organisations that are able to offer support:

- For general advice, please contact the Baker Dearing Educational Trust, which provides free advice and guidance to UTC applicants – [director@utcolleges.org](mailto:director@utcolleges.org) .
- Advice and guidance on how to find potential sites, as part of developing your application, is available from the EFA by contacting them by email on [FreeSchools.EFACAPITAL@education.gsi.gov.uk](mailto:FreeSchools.EFACAPITAL@education.gsi.gov.uk) . (This is the address for premises queries and advice before you submit your application. There is a separate email address for any premises information you need to send once you have submitted your application; that email address is given in the Excel application form.)

### Further information and key documents

6.2 There are a range of websites and documents that you may find useful when writing your UTC application, including the following:

[Academies Financial Handbook](#)

[Academies Spend Data \(for examples of academy finances\)](#)

[Behaviour and exclusions policies and guidance](#)

[Charity Commission guidance](#)

[Companies House](#)

[Department for Education procurement guidance for free schools](#) (this guidance includes UTCs)

[Education Funding Agency](#)

[Education Services Grant](#)

Equality Act 2010:

- [Legislation](#)
- [Advice](#)

[Governance guidance](#)

[Model UTC funding agreement](#)

[Model UTC memorandum and articles of association](#)

[Secondary School Accountability](#)

[School Admissions Code and School Admissions Appeals Code](#)

[Schools benchmarking website](#) (for examples of maintained school finances):

[Seven Principles of Public Life](#)

[Special Educational Needs Code of Practice](#)

## Annex A: Completing the 2014/15 financial template

1. The financial template is a tool to help you to demonstrate that the education plan and staffing structure proposed throughout the application is affordable within the funding available from the EFA. It is important that it is consistent with the rest of the application, that you use it to demonstrate how your plans will be made a reality and that your assumptions clearly show what strategic financial decisions you have made. If your application is approved, you will be asked to update this tool as your plans develop throughout the pre-opening phase.
2. **It is important that you read the guidance in tab G1 before starting to populate the spreadsheet as it contains key information and advice.**
3. **You will also need to start by completing the cover sheet on tab G2** as the information you provide (local authority, opening date) is the data needed for your funding calculations. It is important to make sure you select the correct local authority in G2 to ensure your financial plans are using the correct funding rates. Please ensure you select 'Applicant group' in the Proposition stage box.
4. You will also see tabs for the pre-16 and post-16 ready-reckoners. The data you have entered on the cover sheet, G2, and pupil numbers entered on the budget sheet, G3, will transfer to the pre-16 and post-16 ready-reckoners, which will calculate your funding using your local authority's pre-16 funding rates and the national 16-19 funding formula. The resulting amounts will transfer back to the budget sheet.
5. You will find it useful to also read the department's [guides to revenue funding](#) to further your understanding of how your funding is calculated.

## Budget

6. Forecasts should be prepared on an academic year (September to August) basis. Please enter unrounded amounts (e.g. £15,750) when completing the worksheets. The financial template automatically calculates indicative levels of per pupil funding and post-opening funding based on the information you enter. The actual funding that a UTC will receive in a given academic year will not be established until closer to opening, and projects that progress to pre-opening will be asked to complete revised financial plans before the department enters into a funding agreement. However, at this stage it is important that you show your team can prepare complete financial plans using the financial template. This allows us to assess whether the proposed UTC is affordable and whether your trust has the capability to develop a robust and balanced financial plan.
7. You should refer to the [academies financial handbook](#) in planning your budget. For example, forecasts should be prepared on the 'accruals' basis of accounting, which means that you should recognise expenditure in the accounting period in which it is incurred, which may be earlier than when the invoice is actually paid.

8. Budget assumptions should be listed throughout this sheet at column Q and should be consistent with the information provided in the rest of your application. You should include references to show the sources of evidence and benchmarking information used.
9. For example, assumptions made could include the following:
- Pupil recruitment is assumed to grow at a steady rate until steady state is reached;
  - Employer National Insurance and pension contributions are each calculated with regard to HMRC and relevant pension providers' guidance;
  - Expenditure on heating based on information provided by current occupant.
10. For each line of income and expenditure you will want to think about whether additional commentary is needed to help the department understand how you have derived numbers or to highlight where approximations have been used.

## The template

### Budget sheet section 1 - Pupil numbers

11. Please enter the total number of pupils that will be enrolled in your UTC, per year. These numbers should include both the new intake and pupils already attending the school in each year. The information will transfer to the relevant pre- and post-16 ready-reckoner, which will calculate your funding, and display it on the budget sheet. The ready-reckoners will display full details of how your funding is made up, according to your local authority's local funding rates or the national post-16 funding rates.
12. Funding for 14-16 pupils is also affected by the characteristics of the intake. The ready-reckoner will pre-populate your expected percentage uptake for deprivation factors, such as free school meals (FSM) and looked-after children, based on local authority averages. Where the characteristics of your intake are likely to be different from the LA average, you have the opportunity to override the pre-populated figures for each of the LA formula factors. This should only be completed by exception where there is clear evidence that the characteristics of the pupil intake will differ from the LA average, which will be unlikely at the application stage. If you do not hold the required data, leave the cells blank and the averages for the LA will automatically be multiplied by the pupil numbers you entered on the budget sheet. Note: it is especially unlikely that UTCs will be able to provide estimates with any accuracy for IDACI or prior attainment at this stage.

### Budget sheet section 2 – Income

#### Grant income

13. The template will automatically generate an estimate of grant-funding income based on pupil numbers, including Education Services Grant (ESG) and pupil premium.

UTCs receive a flat-rate ESG of £140 per pupil in 2014/15 to cover the cost of services which would previously have been provided by the local authority.

### **Business rates**

14. UTCs receive a grant from the EFA to cover the full cost of business rates at the discounted charity rate. Row 35 (in the income section) will be populated once you have entered details of the rates in row 110 (in the expenditure section).

### **Risk protection**

15. From 2014, EFA will no longer pay an insurance grant. The new risk protection arrangement offered by the government will be open to UTCs, as with all free schools and academies, at the rate of £25 per pupil. There is an allowance of £25 per pupil for insurance included in the general annual grant (GAG), so this will be cost-neutral and you should include this against the insurance expenditure line. You are able, if you prefer, to arrange your own insurance: you should note, however, that there will be no extra funding available if it costs more than the £25 per pupil amount. Any costs above this should therefore be included in your financial plan.

16. Details of the new arrangements are here .

### **Other income**

17. If you expect income from sources other than the EFA (e.g. fundraising) please include them in your budget sheet. You should use the assumptions column (column P) to provide robust evidence on why it is realistic and achievable to assume the levels of income you have included. Any additional income would usually be used to enhance, extend, and enrich the UTC's offer or to save towards capital projects and should not be fundamental to the operation of the UTC. UTCs are expected to be viable on the basis of their EFA income against projected costs.

### **Post-opening grant**

18. Most new UTCs receive additional funding to reflect the additional costs of establishing new publicly-funded schools. New schools being opened as UTCs will be provided with this funding through the post-opening grant.

19. The post-opening grant provides funding in two elements: per-pupil resources; and leadership diseconomies. These titles reflect the basis on which the funding is calculated.

- **The first element (resources)** is paid annually as the school builds up to full capacity. It is paid at £500 for each new place created in years 10 to 13.
- **The second element (leadership)** is paid annually as the UTC builds up to full capacity. The amount paid each year currently depends on how many students are present compared to the eventual full capacity of the UTC. The funding should only be used to help cover the salary costs of the minimum **essential** senior leadership posts. You should also be aware that if you can break even without using the full amount of post-opening grant, you will be expected to do so.



20. Post-opening funding is reviewed periodically to ensure value for money so these figures should be used as indicative only.

### **Budget sheet section 3 – Expenditure**

21. Please enter your expenditure total under the headings: Other staff, Premises, Educational resources, Professional services and Other expenditure. We have suggested some areas where we would expect to see expenditure listed. Staff costs will be calculated automatically once the 'Staff' worksheet is completed.

22. It is sensible to include costs associated with depreciation of assets, excluding land and buildings. This is where items such as specialist equipment, laptops or minibuses (but not day-to-day items) will need to be replaced. As an example, a good financial plan using the budget planning tool might show that there is a need to buy more laptops in the third year, then replace other assets in the fifth year. These assumptions should be reflected in column P. We would expect contingency to be around 1% of overall income.

23. Visit [schools benchmarking](#) information and [academies' spend data](#) for details of the non-staff costs typically incurred by maintained schools and academies. The benchmarking information on the schools benchmarking website does not cover the costs of purchasing and providing services that your UTC will need which would be provided by a local authority to its maintained schools. You can access information on the schools benchmarking website by using the 'Guest login' link.

### **Staff sheet**

24. The information you enter here should match the staffing model included in your main application form. Please provide details of the position, type of position, salary, allowance, pension rate and National Insurance rate in columns C-G. Columns H-O require you to input a number 0-1 setting out the full time equivalence of that role depending on whether the member of staff is full or part time. Each member of staff needs to be entered in a separate row. An example is given at the top of the sheet.

25. You can find out who your local government pension scheme manager is [here](#). You should contact the relevant fund manager in the first instance to get a likely estimate of the rate in your area.

26. You should note that from September 2015, employer contributions to public sector pensions – including the Teachers' Pension Scheme – are increasing by 2.5%.

27. National Insurance is not a fixed rate and varies with earnings. For further information visit [the HMRC website](#).

28. Education support staff are non-teachers who have an active role in supporting the education of pupils. They can include: teaching assistants; high-level teaching assistants; learning support assistants for pupils with high levels of SEN or who have EAL;

instructors; lab technicians; coaches; mentors etc. Education support staff are separate from administration staff.

29. The [schools benchmarking](#) and [academies' spend data](#) pages on GOV.UK also provide details of the non-staff costs typically incurred by maintained schools and academies. You should explain in your assumptions how you have taken these benchmarks into account when setting the level of spend on staffing costs for your UTC. Where a financial plan using the budget planning tool indicates that a significantly greater or lesser proportion of the UTC budget will be spent on staffing than is typical, we would expect the financial section of the application form to set out clearly why this is appropriate for your UTC.

## Summary sheet

30. This sheet will provide you with key financial indicators using benchmarked figures for your pupil and staff numbers and staff structure as well as giving you a set of financial ratios on strands of your expenditure against overall costs. Cells will be red-rated where your ratios and allocated spending differ from what we might expect to see; this is intended as a guide only, and not a mandatory target. Please provide any notes or reasoning in column N.

## Annex B: Glossary of terms

**Academies Financial Handbook** - sets out the duties and obligations of academy trusts which have a funding agreement with the Secretary of State, including in respect of financial management, governance and audit.

**Academy** - publicly funded independent educational institution free from local authority control. UTCs are legally academies. Other freedoms include setting their own pay and conditions for staff, freedom from following the National Curriculum and the ability to change the lengths of their terms and school days.

**Academy trust** - a charitable company limited by guarantee which operates an academy or free school. See 'company limited by guarantee' for further information.

**Articles of association** - set out the purpose, composition and operating arrangements of the company limited by guarantee (the academy trust).

**Board of trustees (also known as board of directors or governing body)** – the body appointed by the members of the academy trust to oversee the day-to-day management of the school and hold the senior leadership team to account. The board of trustees must be constituted in accordance with the academy trust's articles of association. Trustees must be registered as directors of the company with the Registrar of Companies.

**Catchment area** - the geographical area which you intend your UTC to serve.

**Collective worship** - all publicly funded schools must provide a daily act of collective worship. For schools that do not have a religious designation, collective worship should reflect the broad traditions of this country which are in the main Christian. A school can reflect the religious backgrounds represented in its community, as long as the majority of provision is broadly Christian.

**Company limited by guarantee** - a private company, where the liabilities of its members are limited, in the case of academy trusts to £10. This is the type of company that will most often be used for non-profit organisations. As a legal entity in its own right a company limited by guarantee can take out agreements and contracts in the name of the company rather than the name of individual members.

**Devolved formula capital** - funding for the maintenance and repairs of school buildings. UTCs will not receive this funding in their first year.

**Directors** – directors of an academy trust are also trustees – see below.

**Due diligence** - is an umbrella term for a number of checks that will be made on all those applying to establish a UTC. The checks enable us to ensure that only suitable individuals are able to set up and run a UTC.

**Education Funding Agency (EFA)** - the EFA (formed from the Young People's Learning Agency and Partnerships for Schools in April 2012) is part of the Department for Education. It currently funds all academies, maintained schools through local authorities,

other training for 16 to 19s and learners with learning difficulties and disabilities between the ages of 16 and 25. EFA usually lead on capital acquisition and property costs, as well as overseeing spend on necessary works and fit out. UTCs may also want to offer apprenticeships or higher education courses such as HNCs, which are not funded by the EFA, and can do so with DfE's approval. Your project would then need to secure permission and revenue funding from the appropriate bodies, and comply with relevant monitoring regimes.

**Education Health and Care (EHC) plan** – An Education, Health and Care (EHC) plan describes a child or young person's special educational and other needs and the outcomes they are working towards. The EHC plan specifies the special educational provision and related health provision and social care provision a child or young person should receive. The LA will usually issue an EHC plan if it decides, following a statutory assessment, that all the special help a child or young person needs cannot be provided from within the resources of the school or other educational institution. These resources could include money, staff time and specialist equipment. EHC plans are available from birth up to age 25.

**Education services grant (ESG)** – this grant is for central education services currently funded through local authority central spend equivalent. The ESG will be allocated on a simple per-pupil basis to local authorities and academies according to the number of pupils for whom they are responsible. This is a separate grant proportionate to the number of pupils for which they are responsible.

**English Baccalaureate** - where pupils have secured a C grade or better in all of English, maths, history or geography, two sciences and a language.

**Escalation (methods of)** - the approach to and level of responsibility at which particular issues will be resolved when setting up and running the school.

**Ethos** - the distinctive vision, values and principles that inform the way a school is run.

**Financial viability** - whether a UTC can survive in financial terms in the long-term. UTCs must be able to balance their budgets. This means spending less than their income. In the post-opening period, income is currently per pupil funding plus an additional post-opening grant. When schools reach steady state, their income will be per pupil funding only.

**Founding members of the company** - these are the people that establish the company and sign the memorandum of association that is submitted (with the company's articles of association) when registering the company with Companies House. Further members may subsequently be appointed.

**Free school meals (FSM)** - whether children are, or have ever been, eligible for free school meals is frequently used as an indicator of deprivation, and is often used as a qualifier for calculating funding targeted at deprived students/areas/schools, such as pupil premium. No additional FSM funding is given for children aged 16 to 19.

**Full time equivalent (FTE)** - this represents the total pupil load as if all pupils are full-time, counting part-time normally as 0.5. So for example if the school will have 100 full-time pupils and 30 part-time pupils spending half their time at the school the FTE total would be 115. This is also relevant to staffing.

**Funding agreement** - a legally binding contract between the academy trust and the Secretary of State that sets out the conditions and requirements upon which the academy trust is funded

**General Annual Grant (GAG)** - otherwise known as 'per pupil funding', this is an Academy's annual expected funding. Schools are expected to cover all their running costs out of their GAG.

**Governors** - see definition for 'Directors' above.

**Grant funding** - a method of giving funds for a specific purpose and/or a limited amount of time.

**Information and Communication Technology (ICT)** - this includes telephony, computer equipment and operating systems for the running of the school. It also covers the use of ICT in the curriculum as a subject and to support teaching and learning.

**Indicative funding** - gives a school an estimated funding quote for the forthcoming academic year. It is based on the average local authority funding for maintained schools and the expected number of pupils on roll at that school in the relevant year.

**Leadership grant** - staffing element of post-opening grant.

**Looked -after-children-** children who are in the care of the local authority.

**Local Government Pension Scheme (LGPS)** - a nationwide public sector pension scheme administered locally for participating employers through 99 regional pension funds. UTCs must offer this scheme to all their non-teaching staff.

**Members (of the company)** – the individuals or organisations who form the company, ie the "UTC Trust", and are responsible for appointing its trustees in line with the Articles of Association.

**Memorandum of association** - contains the names of the individuals who are forming the company (the company's founding members). It indicates their willingness to become a member of the company under the Companies Act 2006.

**Pedagogy** - different styles and approaches to teaching.

**Post-opening grant** - previously called 'start-up funding' this is additional funding currently available when schools are first set up (and before there is a full cohort of pupils) for essential costs such as employing a principal (head teacher) and buying books and equipment.

**Post-opening period** - the number of years taken for the UTC to build up to capacity, agreed between the UTC Trust and department.

**Procurement** - the process of entering into contracts for the acquisition of goods and/or services.

**Project development funding** - funding provided to help set up the UTC before it opens. It can currently be used to help develop detailed plans for the school including the curriculum, recruiting a principal designate, running a consultation on the proposed school, and attracting pupils.

**Pupil premium** – additional funding given to publicly-funded schools in England to raise the attainment of disadvantaged pupils and close the gap between them and their peers. It is paid to schools according to the number of pupils who have been registered as eligible for free school meals at any point in the last 6 years. For 2014/15 the rate is £935 per secondary pupil. Children who are or have been continuously looked after by the local authority for six months or longer will also attract a pupil premium of £1,900. Pupil premium is paid directly to UTCs.

**Qualified teacher status (QTS)** - the accreditation that enables individuals to teach in state-maintained and special schools in England and Wales.

**Religious education (RE)** - all schools must teach religious education. The RE curriculum must reflect that the religious traditions in Great Britain are, in the main, Christian, while taking account of the teaching and practices of other principal religions in the country.

**School Admissions Code and School Admissions Appeals Code** - UTCs must comply with the School Admissions Code which is a statutory document we publish that ensures equity and fair access for all.

**Special educational needs (SEN)** - Children and young people with a learning difficulty which requires additional, or otherwise different, educational provision than is offered more generally for children of their age.

**Special Educational Needs Coordinator (SENCO)** – the SENCO must be a qualified teacher, who holds or is working towards a relevant SENCO qualification. The SENCO plays a key role, in collaboration with the headteacher and governing body, in determining the strategic development of the SEN policy and provision in the school in order to raise the achievement of children with SEN. The SENCO takes day-to-day responsibility for the provision made for individual children with SEN, working closely with staff, parents and carers, and other agencies. The SENCO also provides related professional guidance to colleagues with the aim of securing high quality teaching for children with SEN.

**Service premium** – the service premium has been introduced for children whose parents are currently serving in the armed forces. It is £300 in 2014-15. This service premium is designed to address the emotional and social well-being of these pupils. It is paid directly to UTCs.

**Solvency/insolvency** - a company or individual is solvent if the value of its assets exceeds the value of any debts it might owe. Insolvency occurs when a company or individual's debts exceed their assets, or if a company or individual has insufficient funds available to meet its debts as they fall due.

**Steady state** - the first year after you have reached full capacity in terms of pupil numbers.

**Studio schools** - designed to address the concern by employers that some school leavers do not have the skills to join the workforce. They are small schools for 14 to 19 year olds and teach an academic and vocational curriculum. Each has input from businesses, who shape what pupils learn and offer work experience. School days run on office hours, and holidays are shorter to reflect the working environment. By studying in this way, and by working with employers from an early age, students learn vital practical skills like punctuality, and good communication and behaviour in the workplace. A link to the Studio Schools Trust website is [here](#).

**Teachers' Pension Scheme (TPS)** - a contributory scheme administered by Teachers' Pensions (TP) on behalf of the Department for Education. UTCs must offer this scheme to all their teachers, including head teachers.

**Trustees** – trustees are appointed by the members of a company to form a board of trustees and oversee the day-to-day management of the school. It is possible for an individual to be a member and a trustee but we would expect most trustees in the company not to be members.

**Value for money (VfM)** - the term used to assess whether or not an organisation has obtained the maximum benefit from the goods and services it acquires and/or provides, within the resources available to it. It not only measures the cost of goods and services, but also takes account of the mix of quality, fitness for purpose, timeliness and convenience.



Department  
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